

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Where Application of:
Serial No.:
Filed:
For:

Thomas C. Naratil
09/617,853
July 17, 2000

Group Art Unit: 2761
Examiner: Mary Benton
Docket No. 4797-58

**SYSTEM FOR TRADING FIXED INCOME FINANCIAL
INSTRUMENTS: U.S. TREASURY SECURITIES, LIQUID
AGENCIES AND ZERO COUPON STRIPS**

55 Madison Avenue
Morristown, NJ 07960
September 7, 2001

Assistant Commissioner for Patents
Box Assignments
Washington, D.C. 20231

STATEMENT UNDER 37 C.F.R. §3.73(b)

Sir or Madam:

UBS PaineWebber, a Delaware corporation, states that it is:

1. [☒] the assignee of the entire right, title, and interest; or
2. [☐] an assignee of an undivided part interest in the above-identified patent application by virtue of either:
 - A. [☐] an assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. [☐] a chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ to: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ to: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

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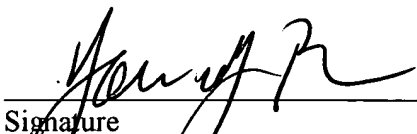
[] Additional documents in the chain of title are listed on a supplemental sheet.

[☒] Copies of assignments or other documents in the chain of title are attached.

The above-mentioned assignee hereby further states that it has all rights to take action in this matter.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Date: 9/10/01


Signature

John J. Burke
Name

Associate General Counsel
Title